Attorney Docket No. <u>YOR920010746US1</u>

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

Applicant(s): G. Grabarnik et al.
Docket No.: YOR920010746US1
Serial No.: 09/976,540
Filing Date: October 12, 2001
Group: 2151
Examiner: Unassigned

Title: Systems and Methods for Providing Off-Line Decision Support for Correlation Analysis

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Technology Center 2100

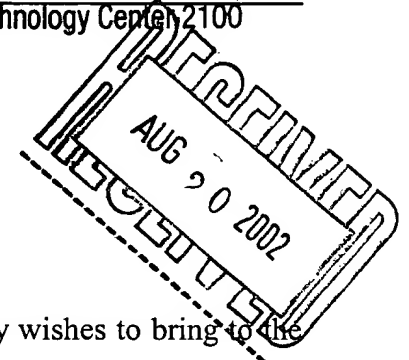## INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants' attorney wishes to bring to the attention of the Patent and Trademark Office the following document listed on the accompanying Form PTO-1449. A copy of each listed document is enclosed.

<u>U.S. Patent Document</u>

1. U.S. Patent Application Serial No. 09/359,874, filed July 27, 1999 and entitled "Systems and Methods for Exploratory Analysis of Data for Event Management".

2. U.S. Patent Application Serial No. 09/567,445, filed May 8, 2000 and entitled "Systems and Methods for Authoring and Executing Operational Policies That Use Event Rates".

3. U.S. Patent Application Serial No. 09/739,432, filed December 18, 2000 and entitled "Systems and Methods for Discovering Partially Periodic Event Patterns".

4. U.S. Patent Application Serial No. 09/918,253, filed July 30, 2001 and entitled "Systems and Methods for Discovering Mutual Dependence Patterns".

5. U.S. Patent Application Serial No. 09/976,574, filed October 12, 2001 and entitled "Systems and Methods for Pairwise Analysis of Event Data".

6. U.S. Patent Application Serial No. 09/976,543, filed October 12, 2001 and entitled "Systems and Methods for Validation, Completion and Construction of Event Relationship Networks".

7. U.S. Patent Application Serial No. 09/731,937, filed December 7, 2000 and entitled "Method and System for Machine-Aided Rule Construction for Event Management".

8. U.S. Patent Application Serial No. 09/849,565, filed May 4, 2001 and entitled "System and Method for Systematic Construction of Correlation Rules for Event Management".

9. U.S. Patent No. 5,661,668 issued on 8/26/97 to Yemini et al.

10. U.S. Patent No. 5,874,955 issued on 2/23/99 to Rogowitz et al.

<u>Other Documents</u>

1. K.R. Milliken et al., "YES/MVS and the Automation of Operations for Large Computer Complexes," IBM Systems Journal, Vol. 25, No. 2, 1986.

2. H. Mannila et al., "Discovery of Frequent Episodes in Event Sequences," Data Mining and Knowledge Discovery, 1(3), 1997.
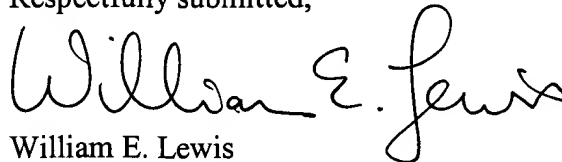
3. R. Agrawal et al., "Mining Association Rules Between Sets of Items in Large Databases," Proc. of VLDB, pp. 207-216, 1993.

4. R. Srikant et al., "Mining Sequential Patterns: Generalizations and Performance Improvements," Proc. of the Fifth Int'l Conference on Extending Database Technology (EDBT), Avignon, France, 1996.

It is believed that there is no fee due in conjunction with the filing of this Information Disclosure Statement. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **International Business Machines Corporation Deposit Account No. 50-0510** as required to correct the error.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made, or as an admission that the information cited is considered to be material to patentability, or as a representation that no other material information exists.

Respectfully submitted,

Date: August 7, 2002

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FORM PTO-1449 (MODIFIED)

LIST OF PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

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U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS/SUBCLASS	FILING DATE IF APPROPRIATE
___	09/359,874	07/27/99	"Systems and Methods for Exploratory Analysis of Data for Event Management".		
___	09/567,445	05/08/00	"Systems and Methods for Authoring and Executing Operational Policies That Use Event Rates".		
___	09/739,432	12/18/00	"Systems and Methods for Discovering Partially Periodic Event Patterns".		
___	09/918,253	07/30/01	"Systems and Methods for Discovering Mutual Dependence Patterns".		
___	09/976,574	10/12/01	"Systems and Methods for Pairwise Analysis of Event Data".		
___	09/976,543	10/12/01	"Systems and Methods for Validation, Completion and Construction of Event Relationship Networks".		
___	09/731,937	12/07/00	"Method and System for Machine-Aided Rule Construction for Event Management".		
___	09/849,565	05/04/01	"System and Method for Systematic Construction of Correlation Rules for Event Management".		
___	5,661,668	8/26/97	Yemini et al.		
___	5,874,955	2/23/99	Rogowitz et al.		

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	DATE	COUNTRY	CLASS/SUBCLASS	TRANSLATION YES	NO
___						

OTHER DOCUMENTS

EXAMINER INITIAL	REF NO.	AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
___	1.	K.R. Milliken et al., "YES/MVS and the Automation of Operations for Large Computer Complexes," IBM Systems Journal, Vol. 25, No. 2, 1986.

Examiner   Date Considered

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

OTHER DOCUMENTS (cont'd.)

EXAMINER INITIAL	REF NO.	AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
____	2.	H. Mannila et al., "Discovery of Frequent Episodes in Event Sequences," Data Mining and Knowledge Discovery, 1(3), 1997.
____	3.	R. Agrawal et al., "Mining Association Rules Between Sets of Items in Large Databases," Proc. of VLDB, pp. 207-216, 1993.
____	4.	R. Srikant et al., "Mining Sequential Patterns: Generalizations and Performance Improvements," Proc. of the Fifth Int'l Conference on Extending Database Technology (EDBT), Avignon, France, 1996.

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